

The Philippine Environmental Governance Project 2

Performance Monitoring Plan



This project is implemented by Development Alternatives, Inc. with the support of its subcontractors:

Cesar Virata & Associates, Inc. ■
Deloitte Touche Tohmatsu Emerging Markets ■
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Acronyms

BFAR	- Bureau of Fisheries and Aquatic Resources
CoP	- Chief of Party
CRM	- Coastal Resources Management
DAI	- Development Alternatives, Inc.
DCoP	- Deputy Chief of Party
DENR	- Department of Environment and Natural Resources
DILG	- Department of the Interior and Local Government
EcoGov 2	- The Philippine Environmental Governance Project – Phase 2
ESWM	- Ecological Solid Waste Management
FASPO	- Foreign-Assisted and Special Projects Office
FFM	- Forests and Forest Lands Management
FLUP	- Forest Land Use Plan
GIS	- Geographical Information System
GRP	- Government of the Republic of the Philippines
IBRA 9	- Illana Bay Regional Alliance – Region 9
IR	- Intermediate Results
IRR	- Implementing Rules and Regulations
ISWM	- Integrated Solid Waste Management
LGU	- Local Government Unit
LOE	- Level of Effort
M&E	- Monitoring and Evaluation
MENRO	- Municipal Environment and Natural Resources Officer
MFO	- Major Final Output
MMAA 161	- Muslim Mindanao Autonomy Act 161
MTPDP	- Medium-Term Philippine Development Plan
NEDA	- National Economic and Development Authority
NIPAS	- National Integrated Protected Area System
NSWMC	- National Solid Waste Management Commission
OEE	- Office of Energy and Environment
PMO	- Program Management Office
PMP	- Performance Monitoring Plan
SO 4	- Strategic Objective 4
SOW	- Scope of Work
SWM	- Solid Waste Management
UEM	- Urban Environmental Management
USAID	- United States Agency for International Development

1.0 General Information on the EcoGov 2 Performance Monitoring Plan

1.1 Project Background

The United States Agency for International Development (USAID) Mission for the Philippines has contracted with Development Alternatives, Inc. (DAI) and its American and Filipino subcontractors to implement the Environmental Governance 2 Project (EcoGov 2) from October 2004 through September 2009, with a subsequent option period through 2011. In short, the purpose of EcoGov 2 is to provide technical assistance for the implementation of activities resulting in improved environmental governance by the project's local and national counterparts, improved management of forests, coastal areas, and solid waste, and the promotion of local government investment into sanitation facilities. EcoGov 2 works in northern Luzon, central Visayas, and much of the western, central, and southern portions of Mindanao.

At the national level, the principal counterpart of the project is the Department of Environment and Natural Resources (DENR). At the local level, the project works directly with local government units (LGUs), as well as the local offices of national government agencies entrusted with natural resources management. Thus, the project's potential and actual scope of government and non-government counterparts is extremely broad.

EcoGov 2 fits within USAID's Strategic Objective 4 (SO 4) for strengthening the management of productive and life-sustaining natural resources and within the overall Mission goal of enhanced security, governance, and capacity for sustainable and equitable economic growth. As such, the long-term vision for EcoGov 2 is to conserve biological diversity by addressing problems of open access and mitigating natural resource-based conflicts in priority eco-regions.

1.2 Objectives and Scope of the Performance Monitoring Plan

The Performance Monitoring Plan (PMP) is a tool the EcoGov 2 team will use for the collection and management of information in monitoring the performance of the project. The guiding documents for PMP are the EcoGov 2 Scope of Work (SOW) (within the larger contract between USAID and DAI) and the life-of-project work plan that DAI submitted to USAID on December 16, 2004. The work plan defines strategies, activities, and targets concurrent with the deliverables named in the SOW. Following from these, the PMP defines performance indicators for measuring project results (i.e., outcomes and outputs). For each indicator, the PMP defines the source of data, the method, frequency and schedule of data collection, and the person(s) responsible for data collection.

This PMP will ensure that data collection is timely and useful to the project team, USAID, and the Government of the Republic of the Philippines (GRP) counterparts. It will ensure the use of a consistent methodology for the generation of time-series information over a possible seven-year timeframe. We will use the PMP to report

progress against work plan targets and to review and adapt our sector and regional strategies.

The PMP focuses on the performance (outcome) indicators named in the contracted Scope of Work and those agreed upon during the January discussions between the team and Office of Energy and Environment (OEE) staff. Most of these indicators are also part of USAID's program management plan. We have ensured that EcoGov 2 PMP uses definitions and measurements that conform to – and feed directly into – the USAID program management plan. Based on DAI's experience as the prime contractor on EcoGov 1, this PMP will also collect data that USAID uses to report on other programs (e.g., climate change, anti-corruption, peace and development).

The PMP likewise considers the contributions of EcoGov 2 to the Medium Term Philippine Development Plan (MTPDP) and the DENR's and BFAR's Major Final Outputs (MFOs). The project team reviewed the reporting forms of DENR-FASPO and NEDA and the PMP identifies specific information that will be relevant to the GRP.

1.3 EcoGov 2 Results Framework

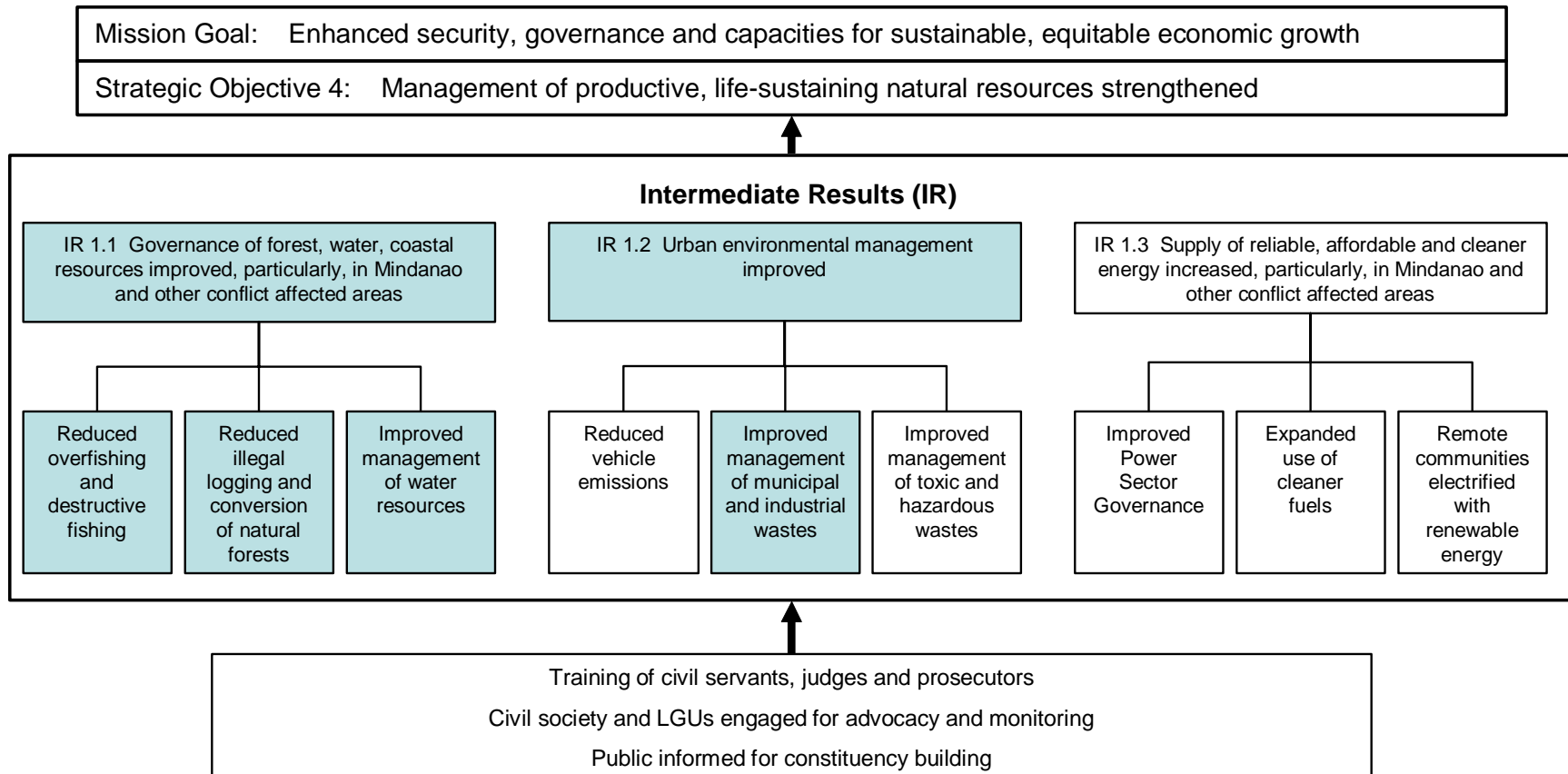
EcoGov 2 falls within USAID's Environment Program Framework and SO 4 for strengthening the management of productive, life-sustaining natural resources (Figure 1). Of the three intermediate results (IR) under SO 4, two relate directly to EcoGov 2:

- Improved environmental governance (forest, water, coastal resources) particularly in Mindanao and other conflict affected areas;
- Urban environmental management improved.

Figure 2, the EcoGov 2 results framework, relates project inputs, activities, and outputs to USAID's IRs and higher order objectives. The project covers three resource management sectors– forests and forest lands management (FFM), coastal resources management (CRM), and urban environmental management (UEM). All three sectors fall within the rubric of improved governance; that is, working in any individual sector is part of environmental governance.

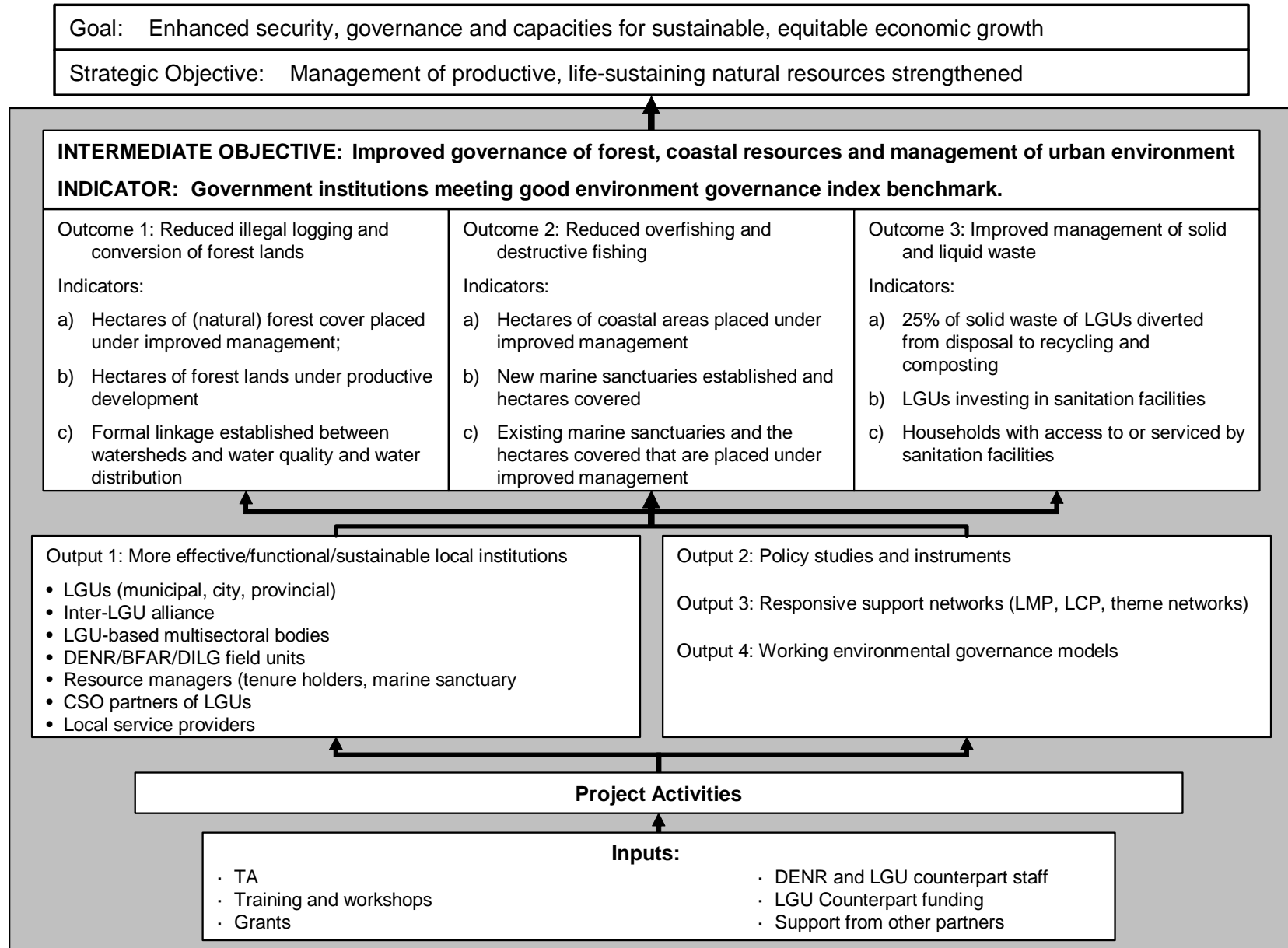
The EcoGov 2 SOW and work plan do not have a separate water resources management component. However, we address watershed management in the FFM sector and water pollution in activities related to solid waste management and for the promotion of municipal investment into wastewater treatment facilities.

Figure 1
USAID Environment Program Framework



Shaded boxes are the intermediate results to which EcoGov 2 contributes.

Figure 2. EcoGov 2 Project Results Framework



2.0 Details of the EcoGov 2 PMP

The indicator system of this PMP has three levels – (1) outcomes (or intermediate results), (2) outputs, and (3) inputs – which we discuss here. We also discuss the roles of team members with respect to data collection, review, and reporting, and to show the general flow of data within the project structure.

2.1 Key Outcomes

As shown in Figure 2, EcoGov 2 has two levels of outcomes or intermediate results. At one level, the outcomes relate to resource management: reduced illegal logging and forest conversion, reduction of threats by illegal fishing, and reduction of the threat posed by unmanaged waste. At a higher level, the outcome is improved environmental governance. The project team proposes various capacity building and implementation activities to achieve these outcomes.

We will measure the improved environmental governance through a governance index and we will measure the resource management outcomes through biophysical performance indicators. In total, the project will have ten performance indicators for this result level, listed below. Of these, we highlight seven that are core indicators (i.e., stipulated in the DAI contract).

Improved environmental governance

- **Government institutions (e.g., DENR, DILG, LGUs) meeting good environmental governance index benchmarks.**

Reduced illegal logging and conversion of forest lands

- **Hectares of (natural) forest cover placed under improved management.**
- Hectares of forest lands under productive development.
- Formal linkage established between watersheds and water quality and water distribution.

Reduce overfishing and destructive fishing

- **Hectares of coastal areas placed under improved management.**
- **New marine sanctuaries established and hectares covered.**
- **Existing marine sanctuaries and the hectares covered that are placed under improved management.**

Improved management of municipal waste

- **25% of solid waste of LGUs diverted from disposal to recycling and composting.**
- **LGUs investing in sanitation facilities.**
- Households with access to or serviced by sanitation facilities.

Annex A presents USAID *indicator data sheets* for each of these indicators. The data sheets provide the detailed definition of the indicator, the five-year and annual targets and the methodology for data collection, review, and reporting. Attached to each data sheet is a sample data table which shows how we will present the information in each annual report.

We note that several of the indicators refer to concepts that are complex and not easy to define: *improved management*, *good practices*. For such concepts, it is difficult to find direct measures. Thus, we define these indicators using a set of conditions or threshold actions that are desirable and realizable within the project period to indicate sufficient compliance. We present an example as follows.

Result: Reduced over-fishing and destructive fishing.

Indicator: Coastal area under improved management.

Minimum conditions: (a) Legitimized coastal and/or fisheries management plan or coastal zonation plan.

(b) Approved annual budget.

(c) Functional LGU-based resource management organization.

(d) At least two good practices.

Threshold actions/practices: (With fishery management plans) at least one implementation action on enforcement; at least one on the management of fishing effort.

Admittedly, the use of multi-dimensional indicators such as these makes the system for data collection and progress tracking complicated, but we believe that they provide a better description of the results.

Moreover, such complex indicators will allow the project to generate other information that will complement the core indicators and explain trends that become apparent. For example, within the FFM sector, the data we collect to determine the hectares of forest cover will also show:

- hectares of open access forest land that are closed;
- public and private investments that are generated;
- tenure holders that have adopted individual property rights;
- apprehension of illegal loggers.

The project will report on these as significant data are generated in the course of monitoring project performance.

2.2 Major Outputs

EcoGov 2 outputs pertain to the direct results of technical assistance efforts. We will generate four types of outputs:

- Strengthened/functional/sustainable local institutions and organizations. These include LGUs (municipal, city and provincial), inter-LGU alliances (e.g., Illana Bay Regional Alliance – Region 9 or IBRA 9), LGU-based multi-sectoral organizations (e.g., Solid Waste Management Boards), DENR/BFAR/DILG, on-site resource managers (e.g., forest lands tenure holders, marine sanctuary networks), local service providers and other civil society partners of LGUs (e.g., local junkshop operators) which are the focus of the project’s capacity building activities.
- Responsive support networks at the regional and national levels, particularly LGU leagues (i.e., League of Municipalities, League of Cities of the Philippines) and theme networks (e.g., SWAPP).
- An improved policy environment through policy studies and legal instruments that the project will prepare with concerned government agencies (e.g., DENR, ARMM DENR) and in consultation with key stakeholders.
- Viable models of environmental governance that showcase innovative practices and institutional arrangements (e.g., clustering of LGUs for common waste disposal facilities, sustainable financing through users fees). Such working models will be useful to both policy formulation and advocacy.

These outputs address the institutional and policy constraints to the effective exercise of LGU mandates on forest, coastal resources, and waste management. They are the basis of structures, linkages, and support systems that will sustain and expand the scale of good environmental governance activities beyond the direct LGU counterparts of the project.

Annex B lists the specific outputs relevant to each of the three resource management sectors: FFM, CRM, UEM. Annex B also lists the corresponding indicators that will determine the status or capability level of each. Because of the highly qualitative nature of the output, we define the indicators in terms of verifiable milestones and conditions that the project can directly effect.

This is an example of how we define output indicators:

Output: LGUs which are functional forest resource managers

Indicators: The LGU must have at least the following:

- (a) legitimized forest land use plan with a DENR-LGU implementation MOA;
- (b) formally designated LGU unit/staff to plan, coordinate and monitor its FFM program;

- (c) regular budget allocation for the operation of the sector;
- (d) operational M&E system jointly implemented with DENR.

We will assess and track progress semi-annually. As with the outcomes, it will be possible to generate data sub-sets for specific concerns. For example, the UEM data would provide periodic counts on:

- LGUs with legitimized ISWM plans.
- LGUs with established MENROs.
- LGUs with active ESWM Boards.
- Female members in ESWM Boards.
- LGUs with agreements with the “informal” sector.
- LGUs with technical and financial support from provincial governments.

When collecting data, we will also collect information on gender roles in specific resource management activities. We will capture the innovations and successes in the approaches we use through process documentation.

2.3 Project Inputs

The key inputs to the project are:

- Technical assistance services of the DAI Team (consultants, assisting professionals and support staff) and contracted local service providers.
- Training and workshops for LGUs, DENR, other partners and stakeholders.
- Small grants.
- DENR and LGU counterpart staff.
- LGU counterpart funding.
- Funding support provided by provincial governments.
- Support from other EcoGov partners.

In relation to these, the project will periodically report on:

- Use of LOE, based on DAI’s administrative records.
- Training conducted, including number of persons trained by gender. (The data will be derived from the training reports of field teams. EcoGov 2 will continue to use USAID’s TraiNet to report on training activities that last at least three days.)
- Annual LGU (municipal, city and provincial) counterpart funding that is available, to be derived from LGU budget documents.
- DENR/BFAR/DILG staff who undergo and complete training provided by the project and who take part in technical assistance to LGUs.
- Local service providers who are hired by the project for specific tasks.
- Grant proposals approved, grant funds released and expended, performance of grantees.
- Agreements and collaborative work with other USAID and donor-funded projects.

2.4 Key Actors and Roles in PMP Implementation

Regional teams – composed of a regional coordinator, field-based technical specialists, and assisting professionals – will be primarily responsible for the collection of and initial review of data. The teams will collect data at a frequency determined by the Manila-based Sector Leaders and DCoP for Results Management. The regional teams will actively secure the participation of the LGUs and the field staff of DENR, BFAR, and Provincial Governments in the organized monitoring activities.

The regional teams will then submit data to Manila in a prescribed format. The Sector Leaders will review this data and ensure it is entered into sector databases/worksheets to generate the summary tables that will be submitted to USAID and GRP counterparts.

The DCoP for Management and Administration will consolidate data that pertain to grants, contracts, staff, level of effort, and expenditures.

Every six months, in March and September, the Sector Leaders, CoP, and DCoPs will analyze the inputs and outputs of their respective sectors in relation to the targets. This information will feed into semi-annual and annual work plans. At the end of each year (i.e., September), we will generate the summary tables shown for each indicator in Annex A to include in the project's annual report.

The governance index survey will be done three times within the life of the project: baseline (2005), mid-term (2007), and end-of-project (2009). The governance index summary will be presented upon the completion of each activity.

The DCoP for Results Management and the Sector Leaders will validate field reports during their visits to the regions. Joint validation activities may be organized with DENR-PMO/FASPO. These may be held before the USAID-DENR-NEDA semi-annual review of the EcoGov Program so the results of the validation may be reported in that forum.

3.0 Implementing the PMP

The immediate step for EcoGov 2 team members is to prepare the data collection instruments, methodologies, and databases for each indicator area. This includes:

- Development and pre-testing of the instruments for the LGU Environmental Governance Index. The baseline survey is scheduled to start in March 2005. We will submit the methodology and survey instrument as a separate, companion document to this PMP.
- Development of data collection/assessment instruments to track organizational status and implementation actions of (a) LGUs, (b) tenure/allocation holders, (c) marine sanctuaries, and (d) LGU-based organizations. Baseline conditions using

these assessment instruments will be established before the end of September 2005.

- Development of databases and tracking worksheets for the storage of information related to the indicators. Those for the FFM and CRM sectors will be GIS-based as data on tenure holders and marine sanctuaries will be geo-referenced.
- Orientation of all DAI field staff on the indicators and methods of data collection and reporting. Staff who will be directly involved in using the assessment instruments and maintaining the databases will be trained.

We will review and refine the system after the initial round of the data collection. We will solicit comments and suggestions from USAID and DENR after the project has submitted its first annual report.

Annexes

Annex A. EcoGov 2 Performance Indicator Data Sheets

Sheet No.	Indicator
Sheet No. 1	Number of government institutions meeting good environmental governance index benchmark
Sheet No. 2	Hectares of natural forests under improved management
Sheet No. 3	Hectares of forest land under productive development
Sheet No. 4	Linkage of watershed to water quality and water distribution system established
Sheet No. 5	Coastal areas under improved management
Sheet No. 6	Number and hectares of new marine sanctuaries established
Sheet No. 7	Number and hectares of existing marine sanctuaries under improved management
Sheet No. 8	25% of waste of LGUs diverted from disposal to recycling and composting
Sheet No. 9	LGUs with investments in sanitation facilities
Sheet No. 10	Number of households with access to or benefited by sanitation facilities

Performance Indicator Data Sheet 1

Goal: Enhanced security, governance and capacities for sustainable, equitable economic growth

Strategic Objective: Management of productive, life-sustaining natural resources strengthened

Intermediate Result: Improved environmental governance

Indicator: Number of government institutions meeting good environmental governance index benchmark

A. Description

Precise Definition: Government institutions refer to LGUs and national government agencies such as DENR, and DILG which have received technical assistance from EcoGov that emphasize the adoption and practice of transparency, accountability and participatory decision-making in carrying out their resource management mandates. It should be noted that the initial assessment/baseline will focus on municipal and city LGUs.

Government institutions are considered to be practicing good environmental governance when they show significant improvements in the adoption of “best practices” in good governance within the five year period of the project. The expected “best practices” will be on four governance principles:

- Functionality – governance systems (e.g., resource management plan, organization, and budget) are in place to produce expected results
- Transparency – citizens have access to information on LGU operations
- Accountability – officials can be held accountable for their performance
- Participation – people take part in governance processes.

Significant improvement means that an institution meets all or almost all of the selected set of good governance practices by end of Year 5. The improvement will be reckoned from baseline conditions that will be established at project start (2005). It should achieve an index benchmark, which will be established based on the results of the baseline assessment.

Unit of Measure: Number of institutions (LGUs). The environmental governance performance of individual institutions will be represented by a governance index (that ranges from 0-1).

Disaggregated by: The number of LGUs will be disaggregated by region and income class. The governance index of individual LGUs will be disaggregated by (a) governance principle, i.e., functionality, transparency, accountability and participation, (b) by sector, i.e., forest and forestlands, coastal resources and urban environment, and (c) by function, i.e., planning, budgeting, procurement, licensing and law enforcement.

Management Utility: The baseline data will serve as starting points for improving EcoGov’s service delivery to target LGUs to improve their ability to manage forests, coastal areas and urban environment. The trends in the indices will show changes in environmental governance in each LGU. Data can be used by both the project and the LGUs to improve their internal strategies and implementation arrangements (including LGU partnerships with citizens) for programs/projects/activities. The data may eventually be related to the performance of the LGU in terms of measurable biophysical indicators.

The results can be cross-referenced with other project generated monitoring data, leading to better understanding of issues. They can also be used to identify model LGUs, promote cross-learning and reward outstanding performance.

Performance Indicator Data Sheet 1

B. Plan for Data Collection

Data Collection Method: A guided self-assessment (focus group discussion format) will be held in individual LGUs using standard core questions (about 17 per sector) and a standard methodology for discussing the questions and generating consensus among a core group of informants from the LGU and non-government sector. The assessment will be facilitated and documented by trained EcoGov 2 regional staff. The self-assessment will involve discussions among the participants and in many cases will entail examination of relevant documents and other physical evidences. The agreed answers to the questions (“yes” or “no”) will be recorded in the questionnaire, which will be signed by all participants at the end of the session.

The LGU assessments will cover all sectors (except CRM in non-coastal LGUs), whether or not these sectors were assisted by EcoGov.

The methodology and the field-tested instruments that will be used for the baseline assessment have been finalized. It will be a companion document to the PMP.

Data Source(s): (a) Core group of informants who will be composed of members of multi-sectoral Technical Working Groups (which include DENR/BFAR staff) and additional representatives from other relevant non-government and government organizations, and concerned ordinary citizens; (b) LGU plans, budget and financial documents, photos and other hard evidences of performance of best practices; (c) EcoGov 2 staff who are familiar with the project activities in these LGUs; (d) completed self-assessment forms and documentation.

Timing / Frequency of Data Collection: Three times within the project period: (a) project start-up for the baseline (2005), (b) mid-term (2007), and (c) end of project (2009).

Cost of Data Collection: Cost of the conduct of the self-assessment in all EcoGov assisted LGUs by EcoGov staff, which will be substantial in terms of level of effort, staff time and travel.

Responsible Organization/Individual(s): The DAI Regional Coordinators and selected members of the regional teams, under the direction of the DAI Governance and LGU Performance Advisor.

C. Data Analysis, Reporting, and Review

Responsibility Centers: The proper and complete recording of the discussions and the agreed answers to the questions (yes or no) will be the responsibility of the DAI Regional Coordinators. The processing of the data and the analysis of the results will be the task of the Manila-based Environmental Governance Policy Specialist and the Governance and LGU Performance Advisor. The sector leaders, regional coordinators and project management will review the results and prepare recommendations on how to use these in the design of sectoral and regional strategies and activities at the LGU level.

EcoGov 2 will submit a full report to USAID containing the results, analysis and recommendations after each survey (in 2005, 2007, 2009).

D. Data Quality Issues

There will be some degree of bias (i.e., in favor of the LGUs) in the responses from the LGUs (thus the need to bring in more non-LGU or non-TWG informants, to make the process very participatory and to back up responses with hard evidence). Since the regions will have different facilitators, there may be differences in the way some of the questions will be explained to the informants.

Performance Indicator Data Sheet 1

E. Performance Data Table

Description: The data table will show for each LGU the governance index obtained for each governance principle, for each function, for each sector, and for overall performance. The index is computed by dividing the “yes” answers with the total of the questions for the specific governance principle or for each function or for the specific sector or for all sectors.

The data table (Table 1 below) for the baseline assessment will contain the derived governance indices per LGU. High and low scores will be highlighted. The data table will be modified in subsequent surveys. In the mid-term and end-of-project assessments, comparisons will have to be made with the baseline data to measure improvements and explain LGU performance. The mid-term and end-of-project indices of the LGUs will have to be compared with a benchmark index to determine the number of LGUs which can be counted as “practicing good environmental governance.” The number of LGU could then be compared across regions and sector .

Notes on Baselines and Targets: The baseline assessment will cover 75 partner-LGUs of EcoGov 2. More LGUs will be covered in subsequent assessments, with the planned expansion of EcoGov 2 by Year 3.

YEAR	TARGET/PLANNED	
2005		
2006		
2007		
2008		
2009	80	
TOTAL	80	

Table 1. Environmental Governance Performance Index of Ecogov-Assisted LGUs: Baseline Assessment

Region/LGU	Governance Index by Governance Principle				Governance Index by Function					Governance Index by Sector			Overall Index
	F	T	A	P	Plng	Bud'g	Proc	Lic	Enf	FFM	CRM	UEM	
N. Luzon													
C. Visayas													
e.g., Alcoy													
S. Mindanao													
W. Mindanao													

F=Functionality; T=Transparency; A=Accountability; P=Participation

Plng = Planning; Bud'g=Budgeting; Proc=Procurement; Lic=Licensing; Enf=Enforcement

Performance Indicator Data Sheet 2

Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 1:	Reduced illegal logging and conversion of natural forests
Indicator:	Hectares of natural forests under improved management

A. Description

Precise Definition: Natural forests include old growth and residual/secondary forests and degraded forest lands that are undergoing a natural process of regeneration. These areas are considered under improved management when (a) they are under a certain form of tenure or government allocation instrument, and (b) when they are placed under effective on-site management.

The tenure or allocation instrument can be any of those in the following five categories: (a) tenure to communities such as CBFMA, CADC/CADT, PACBRMA; (b) tenure to the private sector such as IFMA, SIFMA, FLGMA; (c) allocation to LGUs such as community watersheds, communal forests and other forestlands through co-management agreements with DENR; (d) allocation to address needs for public good (e.g., proclaimed biodiversity area, watershed reservation); and (e) allocation to other government agencies (PNOC reservation, land grant to a state university).

As agreed upon in the EcoGov 2 Workplan Preparation workshop in November 2004, effective on-site management of tenured/allocated areas means that the tenure/allocation holder meets the following conditions: (a) it has an updated and approved management plan and sufficient budget, (b) it is implementing a program to address individual property rights (IPR) within the tenured/allocated area; (c) it has a functional management structure, (d) it has a established and operational mechanism to resolve conflicts, (e) it has an operational monitoring system, (f) it has forest protection and enforcement activities within the tenured or allocated area, (g) it has support for non-forest based livelihood/enterprises (for community-based tenure instruments), and (h) it has established external linkages with relevant resource institutions, markets, processors or investors.

Given the type of technical assistance that EcoGov will provide its partner LGUs, EcoGov 2 will have sufficiently met the above conditions when tenure/allocation holders:

- Have updated management plan that has been forwarded to DENR or NCIP (in the case of CADCs/CADTs) for approval and have sufficient budget allocated for its annual management operations and forest protection activities
- Have adopted the IPR scheme through a written policy or resolution, and initial implementation (e.g., an approved community map of a part of the tenured area showing existing claims that will be issued IPR, actual issuance of IPR to priority claimants)
- Have a clear management structure with the accountabilities of the officers clearly defined; the tenure holders follow the agreed process for selecting/appointing officers, and have functioning committees;

Performance Indicator Data Sheet 2

- Have met at least two of the following:
 - a) There is a working mechanism for resolving conflicts within the organization and tenured area, and this mechanism is known to members of the organization
 - b) There is a system for monitoring its performance vis-à-vis its management plan, with the monitoring unit, performance standards and reporting flows defined and relevant maps updated. The tenure holder must be submitting periodic reports to DENR as required in the tenure agreement.
 - c) There are ongoing forest protection activities within the tenured area by trained forest guards, with operating budgets, incentives to forest guards and recording and reporting systems in place.
 - d) There is support to non-forest based livelihood activities of its members (i.e., for CBFM and CADC/CADT)
 - e) Formal linkages have been established (through contracts, agreements, formal letters) with external organizations, including DENR and LGUs, for assistance/support in training, site development, livelihood (markets, processors, investors), forest protection, and others.

Unit of Measure: Hectares of natural forests

Disaggregated by: Region, LGU and tenure/allocation instrument holder

Management Utility: The indicator serves as a proxy indicator for the improvement or conservation of biodiversity of natural forests

B. Plan for Data Collection

Data Collection Method: The natural forest in each tenure/allocation instrument in an LGU will be estimated from the land classification, forest cover and tenure thematic maps in the legitimized/approved FLUPs (or signed co-management agreements, if no FLUPs are prepared). The LGU, DENR and DAI project staff will conduct an annual assessment of the tenure/allocation holders in the LGU (through a workshop or FGD) to check on the status of each with respect to the conditions described in the definition. This may entail the review of the physical evidences associated with each indicator. The estimated natural forests in tenured/allocated areas where tenure/allocation holders sufficiently meet the criteria will be added up.

The project will establish a GIS-based database to be able to track the performance and progress of various tenure/allocation holders in terms of the conditions set for improved management. An assessment instrument has been developed by the EcoGov FFM team.

Data Source(s): (a) Land classification, forest cover and tenure maps contained in legitimized FLUPs; (b) physical evidences such as tenure instruments, written policies resource management plans of tenure/allocation holders, budgets and other available official documentation; (c) results of periodic assessment of tenure/allocation holders, and (d) field validation reports

Timing / Frequency of Data Collection: Annual

Cost of Collection: Cost of conducting the joint annual assessments (training/workshops, labor, staff time) of tenure holders and field validation by joint LGU, DENR and DAI teams. The LGU is expected to provide counterpart resources as this activity will become part of the M and E system of the LGUs. Existing FLUP maps of the LGUs will be used.

Responsible Organization/Individual(s): DAI regional FFM teams and Regional Coordinators. The annual assessment and field validation will be carried out with the LGUs, DENR field units and the tenure/allocation holders.

Performance Indicator Data Sheet 2

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional forestry specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based FFM National Coordinator and Sector Leader. The data will be made part of the annual report of the EcoGov 2.

D. Data Quality Issues

The data on the hectares of natural forests per tenure/allocation instrument will be derived from the overlay of the land classification, tenure and forest cover maps in the legitimized and approved municipal forest land use plans. The accuracy of the data will depend on the quality of the thematic maps on which they were based.

E. Performance Data Table

Description: In the proposed data tables, the hectares of natural forests will be presented per LGU by year (Tables 2.a) and by type of tenure/allocation arrangements (Table 2.b). They will be aggregated by region and the percent distribution by region will be shown. For Table 2.a, the annual and to date percent accomplishment to date per LGU will also be computed. Annual and to-date comparisons between total accomplishments and targets will also be shown. Table 2.b will show the % distribution by type of allocation instrument/arrangement.

A comparison will be made between the annual and to-date accomplishment and workplan targets.

Notes on Baselines and Targets: The initial assessments of tenure holders that will be held in LGUs with completed FLUPs in 2005 will provide the baseline conditions.

While TA interventions will start in Year 1, physical accomplishments are expected only on the second year in view of the number of conditions that need to be met and the time required to complete the basic processes related to their achievement.

YEAR	TARGET/PLANNED		
2005			
2006	47,670		
2007	60,370		
2008	75,190		
2009	71,440		
TOTAL	254,670		

Table 2.a Hectares of Natural Forest Under Improved Management by LGU and Region

Region/ LGU	Total Natural Forest	Ha of Natural Forest Under Improved Management						% Accomplishment to Date	% of Region to Total
		2005	2006	2007	2008	2009	Total to Date		
N Luzon									
C. Visayas									
S. Mindanao									
W. Mindanao									
EcoGov 2 Total									
Workplan Targets									
% of Target									
Difference (EG 2 Total-Targets)									

Table 2.b Hectares of Natural Forest Under Improved Management by Tenure/Allocation Type by LGU and Region
(as of end of Year _____)

Region/ LGU	Total Natural Forest	Ha of Natural Forest Under Improved Management						% Accomplish-ment to Date
		Allocation to Communities	Allocation to Private Sector	Allocation to LGUs	Allocation for Public Good	Allocation to other Gov't Agencies	Total to Date	
N Luzon								
C. Visayas								
S. Mindanao								
W. Mindanao								
EcoGov 2 Total								
% by Allocation Type								

Performance Indicator Data Sheet 3

Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 1:	Reduced illegal logging and conversion of natural forest
Indicator:	Hectares of forestland under productive development
A. Description	
<p>Precise Definition: These areas refer to bare forest lands (open areas and grasslands) in the production areas in forest lands. They are located either in open-access areas or in tenured/allocated areas.</p> <p>These forestlands are considered under “productive development” when they meet these necessary conditions: (a) they are covered by individual property rights or by communal tenure rights with individual property rights or IPR, (b) the occupants/claimants have started to adopt sustainable upland agriculture/agroforestry systems, or to establish tree farms, tree plantations or orchards, or other sustainable/protected use, (c) the areas are being protected from slash and burn and/or wild grasslands fire by the tenure/allocation holders or IPR holders. The LGU Municipal Agrisulturist’s Office (MAO) also has the commitment to include these upland farmers as clients of their extension services.</p>	
Unit of Measure: Hectares of bare forestlands that are placed under productive development	
Disaggregated by: Region, LGU and tenure/allocation holder	
Management Utility: The indicator reflects improved local economy resulting from the productive use of forest lands asset.	
B. Plan for Data Collection	
<p>Data Collection Method: Determine the hectares of bare production forest lands that can be potentially be developed in the LGU (particularly within areas covered by co-management agreements) from the overlay of land classification, forest cover and tenure maps, and from community maps generated during FLUP or IPR delineation.</p> <p>During the periodic assessment of tenure/allocation holders, estimate the area that are reported to be under productive development (per the conditions in the definition) by tenure/allocation holders. The LGU, DENR and DAI staff will conduct field validation to verify correctness of report and to firm up the estimated area that have been developed. Areas which have been reported will be reflected in the maps prepared previously to prevent double reporting in the future.</p>	
Data Source(s): (a) Land classification, forest cover, and tenure maps in legitimized and approved FLUPs for the potential areas; (b) community maps, (c) periodic assessment of tenure holders, and (d) field validation reports by LGU, DENR and DAI staff.	
Timing / Frequency of Data Collection: Annual	
Cost of Collection: Cost of field validation (transport, labor, staff time) by joint LGU, DENR and DAI teams.	
Responsible Organization/Individual(s): DAI regional FFM teams and Regional Coordinators. The annual assessment and field validation will be carried out with the LGUs, DENR field units and the tenure/allocation holders.	

Performance Indicator Data Sheet 3

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional forestry specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based FFM National Coordinator and Sector Leader. The data will be made part of the annual report of the EcoGov 2.

D. Data Quality Issues

The area of bare forestlands placed under productive development will largely be based on estimates provided by the tenure holders and validation teams.

E. Performance Data Table

Method of Calculation: The validated area estimates provided will be presented by LGU and aggregated by region. See Table 3 below for the suggested format. The percent distribution of the hectares by region as well as the overall percent increase per year per region will be included in the data summaries. Annual and to-date comparisons between accomplishments and targets will also be shown.

Key to Table: Hectares of bare forestlands that are placed under productive development, by region

Notes on Baselines and Targets: While TA interventions will start in Year 1, physical accomplishments are expected only on the second year in view of some conditions that will require some time to meet (e.g., tenure instrument, IPR, extension services). No need for baseline assessment.

YEAR	TARGET/PLANNED		
2005			
2006	3,500		
2007	3,500		
2008	3,500		
2009	3,500		
TOTAL	14,000		

Table3. Hectares of Forestlands Under Productive Development by LGU and Region

Region/ LGU	Ha of Forestlands Under Productive Development						% of Regional Total to EcoGov 2 Total
	2005	2006	2007	2008	2009	Total to Date	
N Luzon							
C. Visayas							
S. Mindanao							
W. Mindanao							
EcoGov 2 Total							
Workplan Targets							
% of Target							
Difference (EG2 Total-Targets)							

Performance Indicator Data Sheet 4

Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 1:	Reduced illegal logging and conversion of natural forests
Indicator:	Linkage of watershed to water quality and water distribution system established

A. Description

Precise Definition: The linkage between a watershed and water quality and water distribution system is established in a site when the basic agreements to establish and operationalize a users fee system are put in place. These agreements will include: (a) Memorandum of Agreement (MOA) or contract between a watershed management unit and a local water district or similar supplier of domestic water that provide for joint protection and management of a watershed area; establishment and transfer of resource users' fees to on-site communities to finance their rehabilitation and protection efforts and other restoration activities; and periodic joint evaluation of initiatives they commit to undertake, (b) agreement among stakeholders on the rates of water users' fees based on a water valuation study, and (c) agreements on the institutional arrangements for collection and transfer of water user fees, and the management and use of funds. The last item will entail the issuance of resolutions by the boards of the water district specifying the rates that will apply, when collection will start, how the fund will be established and accessed by the watershed management unit.

Unit of Measure: Sites where water user fee systems have been established

Disaggregated by: Region and province

Management Utility: This will provide information on how resource users' fee can be operationalized to become an alternative financing scheme for watershed management.

B. Plan for Data Collection

Data Collection Method: Secure updates on the status of the agreements; review (and keep on file) the signed agreements; determine which sites have completed the above agreements.

Data Source(s): (a) Watershed management unit/water district/LGU/DENR (signatories or witnesses to the MOA, contract and other agreements); (b) signed MOA/contract/agreements; (c) documentation of consultations conducted; (d) resolutions

Timing / Frequency of Data Collection: Annual

Cost of Collection: Very minimal

Responsible Organization/Individual(s): DAI regional FFM teams and Regional Coordinators

C. Data Analysis, Reporting, and Review

Responsibility Centers: Reporting on discussions, negotiations, consultations and completed MOAs/contracts/agreements to EcoGov 2 Manila Office will be the responsibility of the DAI regional forestry specialists. The Manila-based FFM National Coordinator cum Resource Economist will review the agreements and water valuation studies while the LGU Finance and Policy sectors will review draft agreements/contracts and funding arrangements. The data on completed contracts/agreements will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

Performance Indicator Data Sheet 4

E. Performance Data Table

Description: The data table will show the status of MOAs/contracts/agreements completed to date with basic details on each contract.

Notes on Baselines and Targets:

YEAR	TARGET/PLANNED		
2005			
2006			
2007	2		
2008	2		
2009			
TOTAL	4		

Table 4. Status of Agreements/Contracts for Water Users' Fee Establishment

Region/Site	Water District/Supplier	Watershed Mgt Unit	Area of Watershed Covered (ha)	Status of Agreements (indicate dates when agreements are signed/concluded)		
				MOA/Contract	Rate of Water User's Fee	Institutional Arrangements (Collection, Transfer, Mgt of Fund)
N. Luzon						
W. Visayas						
S. Mindanao						
W. Mindanao						
No. of Sites with Agreements to Date						
Total Area Covered						

Performance Indicator Data Sheet 5

Goal: Enhanced security, governance and capacities for sustainable, equitable economic growth

Strategic Objective: Management of productive, life-sustaining natural resources strengthened

Intermediate Result: Improved governance of forest, water and coastal resources and urban environment

Outcome 2: Reduced overfishing and destructive fishing

Indicator: Coastal areas under improved management

A. Description

Precise Definition: Improved management of coastal areas means that (1) LGUs have legitimized coastal and/or fisheries resources management plan, or legitimized zoning scheme for municipal waters; (2) LGUs have approved annual budget allocations for the implementation of CRM/fisheries management activities, (3) there is a functional LGU-based resource management organization in charge of implementing the legitimized plans, and (4) LGUs implement good practices in CRM and/or fisheries resources management. Good practices will cover a broad range of actions in the various coastal zones established in LGU CRM plans. Good practices in fisheries management will include both enforcement (e.g., deputation, regular patrolling, community IEC to improve compliance, establishment of a reporting system, apprehensions and reduction of destructive and illegal fishing activities) and management of fishing effort (e.g., fishery registry, fisheries monitoring, and compliance incentives).

Under EcoGov 2, an LGU will have sufficiently met the above conditions when criteria (1), (2) and (3) are satisfied and when it implements at least two good practices. For LGUs implementing CRM plans, there should be implementation actions in two zones (i.e., marine sanctuary and/or municipal fishery zones and one other zone). For LGUs with fisheries management plans, at least one action should be related to enforcement and the other should be on fishing effort (see above for examples).

Under existing policies, the municipal waters that fall under the jurisdiction of LGUs extends 15 km from the coastline. For this indicator, the coastal area under improved management will be measured by projecting the LGU's coastline 5 km outward or roughly one third of the municipal waters. (The lateral boundaries will be based on the end-point of the land boundaries of adjacent coastal LGUs.). The 5-km distance is considered as a more reasonable outer boundary as the area bounded by it is within sight from shore and the outward distance can be reached in about 20 minutes by law enforcers responding to illegal fishing reports.

Unit of Measure: Hectares of coastal area under improved management

Disaggregated by: Region, coastal management area (bay, gulf, groups of islands) and LGU

Management Utility: The indicator provides information regarding management of coastal and fisheries resources at the local and/or inter-LGU level

B. Plan for Data Collection

Data Collection Method: The actual or projected boundaries of the municipal waters of all LGUs where CRM/fisheries management are or will be implemented will be plotted on maps using geographic information system (GIS). The LGUs will be assessed at the end of the year to determine which of them sufficiently meet the criteria for improved management. This may include field validation to verify status of LGU implementation actions. The estimated coastal area (using computation described above) of these LGUs will then be aggregated

The project will establish a database to be able to track the performance and progress of LGUs in terms of the criteria for improved management.

Performance Indicator Data Sheet 5

Data Source(s): (a) Legitimized CRM and/or fisheries plans, or coastal zoning plan; (b) map of municipal waters and corresponding ordinance; (c) various LGU records (fishery registry, record of apprehensions, IEC materials, etc); (d) progress and assessment reports

Timing / Frequency of Data Collection: Annual

Cost of Collection: Very minimal as the annual assessment and field validation can be made part of the LGU-DAI-DENR/BFAR activities in the LGU.

Responsible Organization/Individual(s): DAI regional CRM teams and Regional Coordinators. The annual assessment and field validation will be carried out with the LGUs, and DENR/BFAR field units.

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional CRM specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based CRM Sector Leader. The data and analysis will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

In most LGUs, the area will be computed using projections of coastal terminal points and lateral municipal water boundaries since these have not been officially established or certified by NAMRIA.

E. Performance Data Table

Description: The data table will show the hectares of coastal area of LGUs which meet the criteria for improved management as of a given period of time. The data will be presented in the table by LGU and will be aggregated by region. The aggregated hectares for major coastal management areas such as IBRA 9 and Baler Bay will be highlighted.

The percent distribution of the hectares by region as well as the overall percent increase per year per region will be indicated in the data summary. Annual and to-date comparisons between accomplishments and targets will also be shown. See Table 3 below for the suggested format of the data table. Maps will also be used to show coastal areas under improved management vis-à-vis the municipal waters.

Notes on Baselines and Targets:

YEAR	TARGET/PLANNED
2005	21,760
2006	57,330
2007	8,130
2008	19,480
2009	
TOTAL	106,700

Table 5. Hectares of Coastal Area Under Improved Management by LGU and Region

Region/ LGU	Est. Mun Waters (5 km)	Ha of Coastal Area Under Improved Management						% of Regional Total to Regional Est. Mun Waters	% of Regional Total to EcoGov 2 Total
		2005	2006	2007	2008	2009	Total to Date		
Northern Luzon									
1. Baler									
2. San Luis									
3. Dipaculao									
4. Dinalungan									
Central Visayas									
5. Poro									
6. Tudela									
7. San Francisco									
8. Danao City									
9. Compostela									
10. Balamban									
11. Toledo City									
Southern Mindanao									
12. Lebak									
13. Kalamansig									
Western Mindanao									
14. Tukuran									
15. Pagadian City									
16. Dimataling									
17. Dinas									
18. Labangan									
19. Dumaliniao									
20. Tabina									
21. Tungawan									
EcoGov 2 Total									
Workplan Targets									
% of Target									
Diff(EG2 Total-Targets)									

	Baler Bay							
	Camotes Sea							
	MoroGulf (S. K)							
	Illana Bay Reg 9							

Performance Indicator Data Sheet 6

Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 2:	Reduced overfishing and destructive fishing
Indicator:	Number and hectares of new marine sanctuaries established
A. Description	
<p>Precise Definition: A new sanctuary will be considered as <u>established</u> when it meets these criteria: (1) it is covered by a legitimized management plan, which is the basis for the issuance of pertinent municipal ordinance(s), (2) there is a management body formed for the management of the sanctuary, (3) there is funding allocation from the LGU or other sources for its management, and (4) at least two implementation activities are ongoing (e.g., community IEC, installation and maintenance of buoys, patrolling, apprehension of violators, establishment of user fees). A marine sanctuary is “new” when it has not been previously declared or established.</p>	
<p>Unit of Measure: Number of new marine sanctuaries and hectares of new marine sanctuaries established</p>	
<p>Disaggregated by: Region, coastal management area (bay, gulf, group of islands, etc), and LGU</p>	
<p>Management Utility: The indicator provides indirect information on the conservation of biodiversity and the level of management of marine sanctuaries at the local level.</p>	
B. Plan for Data Collection	
<p>Data Collection Method: New marine sanctuaries included in EcoGov 2 will be assessed annually using an assessment tool derived from the refined MPA Rating System¹. Periodic field validation may be undertaken to confirm reported implementation activities. At end of the assessments, marine sanctuaries which meet the minimum requirements will be counted and their respective areas, as indicated in the marine sanctuary management plans, maps, and ordinances, will be aggregated. The location of these new marine sanctuaries will then be plotted in project maps.</p>	
<p>The Project will maintain a database to record the results of the annual assessment of the newly established sanctuaries (and to track improvements in their performance until they also meet the criteria for improved management which is defined in the next indicator data sheet).</p>	
<p>Data Source(s): (a) Legitimized marine sanctuary plans, (b) LGU records (local ordinances, budget allocation and releases, etc); (c) annual assessment/rating of marine sanctuaries; (d) field validation reports</p>	
<p>Timing / Frequency of Data Collection: Annual</p>	
<p>Cost of Collection: Very minimal as annual assessment and field validation can be made part of the LGU-DAI-DENR/BFAR activities in the LGUs.</p>	
<p>Responsible Organization/Individual(s): DAI regional CRM teams and Regional Coordinators. The semi-annual assessment and field validation will be carried out with the LGUs, and DENR/BFAR field units.</p>	

¹ See Meneses, A. 2002. “Improving Coral Reef MPA Management in the Philippines.” In: Campos, W. L., P. D. BeldiaII and P. M. Alino (eds.) Workshop Proceedings of the AFMA Marine Fishery Reserves Program. Pp 51-55. EcoGov 2 is proposing to adopt the Marine Protected Area Rating System, with refinements to incorporate good governance parameters, for assessing the level of development of new and existing marine sanctuaries. The criteria for established and enforced in the MPA rating system covers the EcoGov definitions for marine sanctuaries established and marine sanctuaries under improved management, respectively.

Performance Indicator Data Sheet 6

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional CRM specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based CRM Sector Leader. The data will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

The official area of the marine sanctuaries (as stated in plans and local ordinances) may differ from digitally-determined areas because of the differences in the precision of measurement. For consistency, the official area will be used in reporting.

E. Performance Data Table

Description: The data table will present the number and the hectares of new marine sanctuaries which meet the criteria for established as of a given period of time. The data will be presented by LGU and will be aggregated by region. The aggregated hectares for major coastal management areas such as IBRA 9 and Baler Bay will be highlighted.

The percent distribution of the number and hectares by region will be indicated in the data summary. Annual and to-date comparisons between accomplishments and targets will also be shown. See Table 4 below for the suggested format of the data table. Maps will also be used to show the location of the new marine sanctuaries.

Notes on Baselines and Targets:

YEAR	TARGET/PLANNED	
	Number	Hectares
2005	4	80
2006	6	120
2007	5	100
2008	5	100
2009		
TOTAL	20	400

Table 6. Number and Area (in hectares) of New Marine Sanctuaries Established by LGU and Region

Region/ LGU	No. and Ha of New Marine Sanctuaries Established												% of Regional Total to EcoGov 2 Total	
	2005		2006		2007		2008		2009		Total to Date		No. of new MS	Ha of new MS
	No	Ha	No	Ha	No	Ha	No	Ha	No	Ha	No	Ha		
Northern Luzon														
1. Dinalungan														
2.														
3.														
Central Visayas														
1. Pilar														
2. Poro														
3. Tudela														
4. San Francisco														
Southern Mindanao														
1.														
2.														
Western Mindanao														
1. Lamitan														
2. Isabela City														
3. Tabina														
4. Tukuran														
5. Tungawan														
EcoGov 2 Total														
Workplan Targets														
% of Target														
Difference (EG2 Total - Targets														

	Baler Bay													
	Camotes Sea													
	Davao Gulf													
	Basilan													
	Illana Bay (Reg 9)													

Performance Indicator Data Sheet 7

Goal: Enhanced security, governance and capacities for sustainable, equitable economic growth

Strategic Objective: Management of productive, life-sustaining natural resources strengthened

Intermediate Result: Improved governance of forest, water and coastal resources and urban environment

Outcome 2: Reduced overfishing and destructive fishing

Indicator: Number and hectares of existing marine sanctuaries under improved management

A. Description

Precise Definition: Existing marine sanctuaries under improved management are those established marine sanctuaries where implementation activities have been maintained for at least one year and have resulted in reducing fishing effort and destructive fishing in no-take areas. Threshold actions of LGUs include enforcement (e.g., no fishing is enforced for a year in the no-take area, reduced destructive fishing outside the no-take areas; and regulation of fishing effort outside the no-take area (e.g., monitoring, control and surveillance activities).

Existing marine sanctuaries include those which have previously been declared or established through the initiatives of LGUs, communities and donor-funded projects, including EcoGov. The new marine sanctuaries established under EcoGov 2 will eventually become part of this set of marine sanctuaries when its performance improves from the established level to the improved management level.

Unit of Measure: Number of existing marine sanctuaries and hectares of existing marine sanctuaries

Disaggregated by: Region, coastal management area (i.e., bay, gulf, group of islands), and LGU

Management Utility: The indicator provides indirect information on the conservation of biodiversity, enhancement of local fish production in immediate vicinity of marine sanctuary or marine sanctuary network and the level of management of marine sanctuaries at local and/or inter-LGU levels.

B. Plan for Data Collection

Data Collection Method: The status of each existing marine sanctuary will be assessed annually using an assessment tool derived from the MPA Rating System (see footnote in Data Sheet 6). Field validation will be done to verify reported on-site implementation activities particularly with regard to threshold actions described above. The number of marine sanctuaries which meet the criteria and are implementing the threshold actions will be counted and their respective areas (in hectares) will be aggregated. The location of these marine sanctuaries will then be plotted in project maps.

The Project will include these marine sanctuaries in its database. The results of the annual assessment of the existing marine sanctuaries will be recorded to track improvements in their performance/status throughout the project period.

Data Source(s): (a) Legitimized marine sanctuary plans or marine sanctuary network plan, (b) LGU documents (local ordinances, budgets, etc); (c) results of annual assessment of marine sanctuaries; (d) field validation reports

Timing / Frequency of Data Collection: Annual

Cost of Collection: Cost of conducting annual assessment and field validation, which will be minimal as these can be made part of the LGU-DAI-DENR/BFAR activities in the LGU. In selected marine sanctuaries, the annual assessment and technical field validation will be done by grantees and sub-contractors.

Responsible Organization/Individual(s): DAI regional CRM teams and Regional Coordinators. The annual assessment and field validation will be carried out with the LGUs, and DENR/BFAR field units.

Performance Indicator Data Sheet 7

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional CRM specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based CRM Sector Leader. The data will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

The official area of the marine sanctuaries (as stated in plans and local ordinances) may differ from digitally-determined areas because of the differences in the precision of measurement. For consistency, the official area will be used in reporting.

E. Performance Data Table

Description: The data table will present the number and the hectares of existing marine sanctuaries under improved management as of a given period of time. The data will be presented in the table by LGU and will be aggregated by region. The aggregated hectares for key coastal management areas (such as IBRA 9, Baler Bay, Camotes Sea) will be highlighted. The tables will also indicate which of the marine sanctuaries reported as under improved management are also reported under the established indicator to prevent double counting in number and area.

The percent distribution of the number and hectares by region will be indicated in the data summary. Annual and to-date comparisons between accomplishments and targets will also be shown. See Table 7 below for the suggested format of the data table. Maps will also be used to show the location of these existing marine sanctuaries.

Notes on Baselines and Targets: The first 13 marine sanctuaries are those established in EcoGov 1. The project will start the identification and initial assessment of other existing marine sanctuaries to establish baseline conditions in the first two years of the project.

YEAR	TARGET/PLANNED	
	Number	Hectares
2005	13	920
2006		
2007		
2008		
2009		
TOTAL	50	2,500

Table 7. Number and Area (in hectares) of Existing Marine Sanctuaries Established by LGU and Region

Region/ LGU	No. and Ha of Existing Marine Sanctuaries Established												% of Regional Total to EcoGov 2 Total	
	2005		2006		2007		2008		2009		Total to Date		No.of existing MS	Ha of existing MS
	No	Ha	No	Ha	No	Ha	No	Ha	No	Ha	No	Ha		
Northern Luzon														
1. Dinalungan														
2.														
3.														
Central Visayas														
1. Poro														
2. Tudela														
3. San Francisco														
4. Pilar														
Southern Mindanao														
1.														
2.														
Western Mindanao														
1. Tukuran														
2. Tabina														
3. Dinas														
4.														
5. RtTLim														
6. Payao														
7. Tungawan														
8. Naga														
Total														
Workplan Targets														
% of Target														
Cumulative Slippage														

	Baler Bay													
	Camotes Sea													
	Davao Gulf													
	Illana Bay (Reg 9)													
	Sibuguey Bay													

Performance Indicator Data Sheet 8

Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 3:	Improved management of municipal waste
Indicator:	25% of waste of LGUs diverted from disposal to recycling and composting
A. Description	
<p>Precise Definition: <u>Waste diversion</u> to recycling and composting essentially means reducing the biodegradable and recyclable component of solid waste brought to the dumpsite or sanitary landfill (SLF) through recycling, composting, processing and other resource recovery methods.</p> <p>The following are considered as evidences that an LGU is achieving real and significant waste diversion:</p> <ul style="list-style-type: none"> • Legitimized ISWM plan and annual budgets to implement the plan • Ordinances establishing clear rules for waste management have been issued by the SB/SP and are being enforced. The LGU must be enforcing waste segregation at source, management of toxic and hazardous waste (THW) by major THW sources, system of incentives and penalties, and collection of fees or other charges for SWM services • An operational <u>composting</u> facility • Organization or assistance to the “informal” sector (i.e., junkshop operators, itinerant buyers of recyclables) to expand their waste recycling and handling system • An ongoing IEC program particularly on waste segregation, composting and recycling • Waste diversion of at least 25% in a specific point source of waste that is considered in the LGU as a <u>major</u> waste generator, e.g., public market, commercial district, a highly populated sitio, housing projects or residential subdivisions. <p>The achievement of <u>all</u> of the above will be used as a proxy for demonstrating same percentage of waste diversion. All SWM partner LGUs of EcoGov 2 are expected to meet this condition.</p> <p>To provide further evidence that the mandatory 25% waste diversion is being achieved, the project will measure annually in a <u>sample of LGUs</u> the biodegradable and recyclable component of the total waste that is brought to the LGU’s disposal facility. The <u>percentage</u> of the biodegradables and recyclables to the <u>total waste of a given year</u> must be lower than the <u>baseline percentage</u> of the biodegradables and recyclables by at least 25 percentage points to be able to claim compliance with the law (see example in data collection method).</p> <p>It will be noted that <u>waste diversion</u> does <u>not</u> necessarily mean the reduction of the volume of waste brought to the dumpsite. In fact, the total volume of waste is expected to increase through time in view of population and economic growth. The waste diversion data are expected to show that as the total volume of waste increases through the years, the LGU is able to decrease the percentage of the biodegradables and recyclables to the total annual volume of waste disposed in the dumpsite or SLF.</p>	
Units of Measure: % of waste diverted to composting and recycling; number of LGUs which meet the 25% diversion target; number of plans, facilities, ordinances, organizations formed	
Disaggregated by: LGU. Average % waste diversion may be computed for groups of LGUs (e.g., major urban centers, LGUs in the region)	

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Management Utility: The indicator provides information regarding extent of compliance of LGUs with the specific requirement of RA 9003. It also indicates the potential benefits of the LGU SWM actions to local economy (i.e., recovery of “re-usables”), and people’s health and the environment (i.e., reduction of the sources of leachate, methane, THW and other emissions in the disposal facility).

B. Plan for Data Collection

Data Collection Method: An annual assessment will be conducted with municipal and provincial LGU, and DENR to establish and document progress of LGU on the SWM action areas listed in the definition (i.e., ISWM plan preparation, composting, enforcement, IEC, and organization of the informal sector). For each action area, progress levels will be defined using benchmarks and verifiable evidences. Field verification will need to be done for some action areas (e.g., operation of composting facility).

LGUs will be assisted by DAI staff and DENR in the annual conduct of waste characterization for specific point sources of waste (e.g., public market, commercial district, *sitio*, housing projects or residential subdivisions). The refined/simplified EcoGov waste characterization methodology will be used. The annual percentage of biodegradable and recyclables to the total waste that is collected from these point sources (for disposal at the dumpsite or SLF) will be computed. The data for a specific year will be compared with the data obtained for the base year (baseline) and a determination will be made if the waste diversion in specific point sources meet the 25% target.

In selected LGUs, an expanded waste characterization exercise will be undertaken annually to include total waste collected from the LGUs’ collection area. Using the refined/simplified EcoGov waste characterization methodology, the percentages for biodegradables and recyclables to the total volume of waste disposed per year will be determined and compared with the initial (baseline) data to determine the extent of the change in the relative distribution of these two types of waste. For each year, those LGUs which meet the waste diversion criteria will be counted.

The method for comparing and computing the waste diversion is illustrated below²:

Baseline = Year 2004		Year 2006	
Biodegradable (B)	62%	Biodegradable (B)	50%
Recyclable(Rc)	18%	Recyclable (Rc)	15%
Residual (Rs)	18%	Residual (Rs)	17%
Special Waste (SP)	2%	Special Waste (SP)	2%

$$\begin{aligned}
 \text{Waste diversion as of end of Year 2006} &= (B + R \text{ of } 2004) - (B + R \text{ of } 2006) \\
 &= (62 + 18) - (50 + 15) \\
 &= 80 - 65 = 15
 \end{aligned}$$

Findings: 15% waste diversion in 2006

At the end of each year, a determination will be done which LGUs meet all the conditions listed in the definition. This will determine the final numbers that will be reported in the EcoGov 2 annual report.

The project will maintain a database to record the results of the annual waste diversion measurements (LGU collection area and specific point sources) and of the annual assessment of LGU SWM actions.

² The percentages are computed based on the total volume of samples which represent all collected wastes from different sources that are brought to the disposal facility.

Performance Indicator Data Sheet 8

Data Source(s): (a) Legitimized ISWM plans, (b) LGU records (ordinances, enforcement reports, composting operations), (c) annual end-of-pipe waste characterization for the collection area of sample LGU, (d) annual waste characterization for waste of specific point sources in all LGUs, (e) results of periodic assessment of LGU actions, (f) field validation reports, (g) baseline data collected in EcoGov 1.

Timing / Frequency of Data Collection: Annual assessment of overall LGU performance with respect to required SWM actions; annual waste characterization for LGU collection area and for specific point sources. The number of LGUs which meet the criteria in the definition will be determined annually.

Cost of Collection: Very minimal for periodic documentation of LGU actions, annual assessment and field validation as these will become part of progress monitoring activity of project staff. Cost for the waste characterization activities will require substantial project support in terms of labor, staff time, tools and supplies. The LGUs will be encouraged to provide counterpart resources to these activities, which are to become part of the LGU's regular SWM M and E activities.

Responsible Organization/Individual(s): DAI regional UEM teams and Regional Coordinators. The annual assessment, field validation, and annual waste characterization will be carried out with the participation of the municipal and provincial LGUs, and DENR field units.

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional UEM specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based UEM Sector Leader. The data and analysis of waste diversion will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

The timing of the annual waste characterization may differ from year to year the affecting the comparability of, the data since waste generation has a seasonal pattern. EcoGov 2 is refining the waste characterization methodology and will use this in future waste characterization activities. Most of the sample LGUs have baseline data that were established using a methodology different from the subsequent annual measurements.

E. Performance Data Table

Description: There will be three data tables for this indicator: a summary table (Table 8.a); and two tables for the annual computation of the 25% waste diversion (Table 8.b for the sample LGUs and Table 8.c for the non-sample LGUs). Table 8.a summarizes the results of all annual measurements and assessments by showing all the LGUs which have achieved the 25% waste diversion. Annual and to-date comparison will be made between accomplishment and targets.

Tables 8.b and 8.c will show the percentages of biodegradables and recyclables as determined in the annual waste characterization. The time-series data will be presented by LGU with the average waste diversion for each region, for all LGUs (and for other sub-groups of LGUs). The differences between the percentage of the current year and the immediately preceding year, and the baseline percentages will be computed and entered into the table. LGUs which meet the 25% diversion target will be highlighted.

Notes on Baselines and Targets: The baseline for all EcoGov 1 assisted LGUs have been established in 2003/2004. The baseline for new LGUs will be generated within their Year 1 in the project.

YEAR	TARGET/PLANNED
2005	18
2006	22
2007	20
2008	15
2009	15
TOTAL	90

Table 8.a. Number of LGUs with 25% Waste Diversion

	2005	2006	2007	2008	2009
No. of LGUs meeting 25% waste diversion					
• Sample LGUs					
• Non-Sample LGUs					
Workplan Targets					
% of Target					
Difference (Accomplishments-Targets)					

Table 8.b Percent Diversion of Biodegradable and Recyclables from Waste Disposal: Sample LGUs

Region/LGU	% to Total Solid Waste Brought to Disposal Site															Previous Year less Current Year (Total %)	Baseline % less Current % (Total %)	
	2003			2004			2005			2006							
	B	R	T	B	R	T	B	R	T	B	R	T						
Northern Luzon																		
Central Visayas																		
Southern Mindanao																		
Western Mindanao																		
Average for all Regions																		
No. of LGUs meeting 25% waste diversion																		

B = Biodegradable R = Recyclable T = Total



 LGU meeting 25% waste diversion

Table 8.c Percent Diversion of Biodegradable and Recyclables from Waste Disposal: Non-Sample LGUs (Point Sources)

Table 6: Percent Diversion of Biodegradable and Recyclables from Waste Disposal for Sample LGUs (Point Sources)																	
Region/LGU	Point Source	% to Total Solid Waste Brought to Disposal Site														Previous Year % less Current % (Total %)	Baseline % less Current % (Total %)
		2005			2006			2007								
		B	R	T	B	R	T	B	R	T							
Northern Luzon																	
Central Visayas																	
Southern Mindanao																	
Western Mindanao																	
Average for all Regions																	
No. of LGUs meeting 25% waste diversion (point sources)																	

B = Biodegradable R = Recyclable T = Total

 LGU meeting 25% waste diversion

Performance Indicator Data Sheet 9

Goal: Enhanced security, governance and capacities for sustainable, equitable economic growth

Strategic Objective: Management of productive, life-sustaining natural resources strengthened

Intermediate Result: Improved governance of forest, water and coastal resources and urban environment

Outcome 3: Improved management of municipal waste

Indicator: LGUs with investments in sanitation facilities

A. Description

Precise Definition: LGU with investments in sanitation facilities refer to the investments of the municipal, city or provincial LGU or of the private sector in the LGU for the improvement (i.e., to increase the scale or efficiency of the facility) or establishment of wastewater and solid waste disposal facilities. Sanitation facilities refers to wastewater treatment facilities for public market, hospitals, slaughterhouses, commercial establishments and residential areas and sanitary landfills, among others. Fund sources consist of (a) budgetary outlays of the municipality, city or province, and/or (b) investment from the private sector.

The investment process includes a series of pre-construction activities which starts with an assessment of the LGU's wastewater and/or waste disposal requirements. This is followed by consultations with stakeholders, pre-feasibility/feasibility studies, detailed engineering design of the facility, structuring of institutional arrangements, fund sourcing and negotiations with prospective operators or investors. It is expected that any investment in physical facilities (improvement or new construction) will be matched with annual budget allocation for the operations and maintenance of the facilities and for other support to wastewater and waste disposal management (e.g., training of staff managing the facility, IEC for stakeholders, ordinance formulation and enforcement).

An LGU will have sufficiently met the conditions for investment in sanitation facilities when the following conditions, signifying that construction can start, are met: (a) basic agreements relating to project funding (from LGU and/or private investor) are executed and (b) the Environmental Compliance Certificate (ECC) or other requisite DENR approval is issued. This means that the site, facility design and technology are all within the standards stipulated in existing environmental laws and regulations.

Unit of Measure: Number of LGUs with investments in sanitation facilities

Disaggregated by: Region, LGU and class of LGU.

Management Utility: The indicator provides indirect information on the reduction of threats to human health (e.g., contaminated food and water, unsanitary conditions) and to the environment, particularly water resources.

B. Plan for Data Collection

Data Collection Method: The project will track the progress of those LGUs which indicate interest to establish wastewater and solid waste disposal facilities. Updates will periodically be gathered on pre-investment actions. LGUs which meet the sufficient conditions mentioned above will be counted. Annually, there will be a review of each LGU to determine the number of LGUs where the conditions are being met. The Project will maintain worksheets on which information on the progress in the LGUs will be recorded.

Data Source(s): (a) LGU documents (ISWM plans, wastewater assessment reports, pre-feasibility/feasibility studies, detailed engineering plans, budget allocations, record of funding negotiations, ordinances); (b) DENR-MGB and DENR-EMB reports and permits/clearances issued (disposal site evaluation report, environmental clearance, notice to proceed, others) (c) funding and procurement documents (loan agreement, grant award, contracts); (d) progress reports from DAI field teams

Timing / Frequency of Data Collection: Annual

Performance Indicator Data Sheet 9

Cost of Collection: Cost of annual review will be minimal as this can be part of regular activities of DAI regional and Manila teams.

Responsible Organization/Individual(s): DAI regional UEM and LGU Finance teams and Regional Coordinators. The annual review will be carried out with the LGU and DENR field units.

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the joint responsibility of the DAI regional UEM and LGU Finance Specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based UEM and LGU Finance Sector Leaders. The data will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

None

E. Performance Data Table

Description: This indicator will have two data tables. Table 9.a provides a summary of the LGUs where there have been investments in sanitation facilities based on the annual assessment of the LGUs. Annual and to-date comparisons between accomplishments and targets will also be shown in this table.

Table 9.b will present some basic details on the investments made in each LGU, including the households that will benefit from the improvement or establishment of the facility. See Performance Indicator Data Sheet 10 for the definition of the latter.

Notes on Baselines and Targets:

YEAR	TARGET/PLANNED	
2005	3	
2006	6	
2007	5	
2008	4	
2009	2	
TOTAL	20	

Table 9.a LGUs with Investments in Sanitation Facilities

	2005	2006	2007	2008	2009
No. of LGUs with investments in sanitation facilities					
• WW for residential areas					
• WW for public market					
• WW for slaughterhouse					
• WW for hospitals					
• SW disposal facilities					
Workplan Targets					
% of Target					
Difference (Accomplishments – Targets)					

Table 9.b Investments in Sanitation Facilities and Number of Households Benefited

Region/LGU	Type of Sanitation Facility	Investment Type (Improvement/New Facility)	Source of Investment	Estimated Investment Cost (in Pesos)	Number of Households Benefited
Northern Luzon					
Central Visayas					
Southern Mindanao					
Western Mindanao					

<u>Performance Indicator Data Sheet 10</u>	
Goal:	Enhanced security, governance and capacities for sustainable, equitable economic growth
Strategic Objective:	Management of productive, life-sustaining natural resources strengthened
Intermediate Result:	Improved governance of forest, water and coastal resources and urban environment
Outcome 3:	Improved management of municipal waste
Indicator:	Number of households with access to or benefited by sanitation facilities
A. Description	
<p>Precise Definition: This indicator will focus on interventions to improve or establish wastewater management systems for public markets, slaughterhouses, public hospitals and newly established or planned housing projects/subdivisions. The number of households that will benefit from sanitation/wastewater facilities will consist of the following:</p> <p>Direct beneficiaries: a. Households of those working in the facility (e.g., butchers, market vendors) due to safer working environment and lesser exposure to contaminated water b. Households within the immediate vicinity of the discharge point of the wastewater treatment facility since they would be less exposed to contaminated and foul-smelling water c. Households who directly use the water for domestic uses (e.g., watering plants) d. Households serviced by the facility (e.g., domestic wastewater treatment facilities)</p> <p>Indirect beneficiaries: other users of the facilities and consumers of the products sold/processed in the facilities, who also benefit from a cleaner and sanitary facility and less exposure to contaminated food products.</p> <p>The number of households that will have access to or benefited by sanitation facilities will depend on the location, scale, and design of the facility, the volume of water discharge and the point of discharge (stream, river, coastal area). It is critical that for each type of facility, the direct and indirect impact areas should be defined.</p>	
Unit of Measure: Number of households with access or benefited by sanitation facilities.	
Disaggregated by: Region, and LGU. If desired, the numbers can be converted into number of individuals, disaggregated by men and women using the average family size and male-female ratio in the LGU.	
Management Utility: The indicator provides indirect information on the health impacts of sanitation projects.	

Performance Indicator Data Sheet 10

B. Plan for Data Collection

Data Collection Method: Once the LGU indicates interest to establish a wastewater facility, the project will assist the LGU undertake an assessment of its requirements, evaluate the proposed site, determine important technical parameters and do a preliminary identification of the impact areas of the facility. An assessment instrument has been developed for this purpose.

As the feasibility studies and technical designs are completed, the impact areas will be firmed up, guided by the relevant provision in DAO 96-37 and other technical and social considerations. The number of households who will be directly and indirectly benefited by the facility will then be estimated when the Initial Environmental Examination (IEE) or Environmental Impact Statement (EIS) is prepared. The IEE/EIS is a requirement for securing an Environmental Compliance Certificate from (ECC) DENR.

When the LGU satisfies the sufficient conditions for investments in sanitation facilities (see Indicator Data Sheet 9), the number of households that have been estimated will be reported (see Data Table 9). The data on the households will be made part of the UEM database described in the previous data sheet.

Data Source(s): (a) Topographic and land use maps of the LGU, (b) Latest population and household data for the affected barangays, (b) LGU estimates on service area of markets; (c) records/estimates of hospitals on persons served per year, (d) records/estimates of developers of planned/newly established housing projects/ subdivisions on household population, (e) IEE/EIS

Timing / Frequency of Data Collection: Preliminary data during the initial assessment; firmed up estimates upon completion of IEE/EIS

Cost of Collection: Cost of generating estimated household population served or have access to wastewater facilities will be minimal as these will be part of the assessment and IEE/EIS process.

Responsible Organization/Individual(s): DAI regional UEM teams and Regional Coordinators.

C. Data Analysis, Reporting, and Review

Responsibility Centers: The collection, initial analysis and reporting of data to EcoGov 2 Manila Office will be the responsibility of the DAI regional UEM specialists. The review and analysis of the consolidated regional data will be the task of the Manila-based UEM Sector Leader. The data will be made part of the annual report of EcoGov 2.

D. Data Quality Issues

The quality of water within the impact area that is assumed to be improved may actually be adversely affected by other pollution sources which may not be accounted for in the study. In the absence of reliable information on population served by the proposed facilities, estimates may have to be based on data for similar facilities elsewhere.

E. Performance Data Table

Description: The data table for this indicator has been incorporated into the data table for the LGU with investments in sanitation facilities (See Table 9.b). It simply shows the number of households per LGU, based on estimates derived using the methods described above. The total for all regions and regional sub-totals will be computed.

Notes on Baselines and Targets: Estimates of target households cannot be set until the type of facility is identified and at least a preliminary design has been prepared (to know the scale of the facility).

<u>Performance Indicator Data Sheet 10</u>		
YEAR	TARGET/PLANNED	
2005		
2006		
2007		
2008		
2009		
TOTAL		

Annex B. List and Description of EcoGov 2 Outputs

An important task of EcoGov 2 is to strengthen institutions at different levels that will sustain project initiatives and take them beyond the approximately 100 LGUs with which the project works directly. As discussed in Section 2.2 of the main body of the Performance Monitoring Plan, the project will support four major types of outputs. We elaborate on those here as follows:

- Functional and strengthened local organizations and institutions.
- Policy studies and instruments.
- Responsive national networks.
- Innovative approaches demonstrating models of functional environmental governance.

1. Functional and Strengthened Local Institutions/Organizations

Forest and Forestland Management

LGUs functioning as forest resource managers. To become functional forest resource managers, LGUs must have at least the following: (a) a legitimized and DENR-approved FLUP, with an LGU-DENR implementation MOA; (b) formally designated LGU staff to plan, coordinate and monitor its FFM program, and to provide extension services to upland farmers, (c) annual budget allocations for FFM, and (d) an operating M&E system to be jointly implemented with the DENR. EcoGov 2 will provide technical assistance to LGUs in completing FLUPs and putting the needed management systems in place. This should enable the LGUs to meet the “functionality” indicators in the LGU Environmental Governance Index.

More effective and responsible on-site resource managers – tenure/allocation holders. The definition used for “effective management of forestlands” requires that tenure/allocation holders of forestlands receive assistance to become more responsible and effective resource managers. The same set of criteria for effective management will be used to define effective and responsible managers: they must have (a) an updated and approved management plan and sufficient budget, (b) a program to implement individual property rights (IPR) within the tenured/allocated area; (c) a functional management structure, (d) an established and operational mechanism to resolve conflicts, (e) a monitoring system, (f) protection and forest policy enforcement activities within the tenured or allocated area, (g) support for the livelihood/community enterprises of communities or community members, and (h) established external linkages with relevant resource institutions, markets, processors or investors. EcoGov 2 will provide training and coaching to LGUs, DENR, and key tenure holders to enable them to meet the sufficient conditions (refer to Indicator Data Sheet 2).

Organized CBFM tenure holders. CBFM tenure holders who are organized can leverage external support, provide services to their member-POs, and represent the interests of members in local development councils. This then increases the sustainability of CBFM POs. Progress milestones will include the formal organization of the federation, commitment of continuing support from the provincial government or private sector, and recognition of the federation in the province, including their membership in local development and consultative councils. EcoGov 2 will facilitate the process of their formal organization and recognition and support by the provincial government and DENR.

Coastal Resources Management

LGUs functioning as coastal resource managers. To become functional coastal resource managers, LGUs must meet at least the following requirements: (a) a legitimized CRM and/or fisheries resource management or coastal zoning plan, (b) formally designated LGU unit/staff to plan, coordinate and monitor its CRM/fisheries resource management program, (c) annual budget allocations for CRM, and (d) an operating M&E system for its overall CRM program and for specific coastal zones. EcoGov 2 will provide technical assistance to LGUs in preparing and completing plans and putting the needed management systems in place. This should enable the LGUs to meet the “functionality” indicators in the LGU Environmental Governance Index.

Established networks of marine sanctuary managers. Marine sanctuaries are managed by fisherfolk organizations or jointly by combinations of POs, NGOs, municipalities, and barangays. EcoGov 2 will form networks of resource managers (at least three marine sanctuaries in at least three LGUs within a sub-ecoregion) and provide them with technical assistance and grants. This assistance will help the networks achieve good management practices that are at least one level higher than baseline conditions and have sustainable financing and institutional support arrangements. The milestones for a established network will include (a) a MOA among at least 3 LGUs, (b) a written plan of joint actions for the network, (c) a joint financing scheme for the management of the marine sanctuaries in the network, (d) external linkages for technical, financial and entrepreneurial support, and (e) implementation of M&E activities to assess progress of planned actions and determine overall status of marine sanctuaries using the MPA rating system.

Functional inter-LGU alliances. To promote a bay-wide and ecosystem approach, EcoGov 2 will strengthen inter-LGU alliances in coastal and fisheries management, particularly in joint fishery law enforcement and networking of marine sanctuaries. At least four inter-LGU alliances are being considered for EcoGov 2 support (i.e., in Illana Bay Region 9, Sibuguey Bay, Camotes Sea, and Baler Bay). Milestones will include: (a) formal agreement among LGU members indicating clear objectives of the alliance and the individual and collective responsibilities of members, (b) existence of a strategic action plan or agenda of priority actions with implementation of at least one key interdependent activity per year (e.g., enforcement), (c) existence of a working group/unit that facilitates inter-LGU decision making and a system for managing peer conflict, (d)

sustained financial and manpower contributions from component LGUs, and (e) technical and financial support agreements entered into and maintained with partner resource organizations (e.g., provincial governments).

Urban Environmental Management

LGUs functioning as waste managers. LGUs must meet the following requirements: (a) a legitimized ISWM 10-year plan, (b) formally designated LGU staff to plan, coordinate, manage, and monitor its solid waste management program, (c) annual budget allocation for the maintenance and operations of its SWM program, and (d) an operating M and E system for its overall SWM program. EcoGov 2 will provide technical assistance to LGUs in preparing and completing ISWM plans and putting the needed management systems in place. This should enable the LGUs to meet the “functionality” indicators in the LGU Environmental Governance Index.

Active ESWM Boards. EcoGov 2 will assist the LGUs strengthen their ESWM Boards through training and mentoring on various aspects of SWM and by promoting informed decision-making processes. Milestones will include (a) adoption of working structure and protocols, (b) regularity of meetings and Board resolutions on key decision areas (e.g., ordinances, annual work plan and budget, investments on SWM facilities); (c) periodic SWM performance reviews and reports.

Strengthened informal sector. Recognizing the important role played by the informal sector (i.e., junkshops, itinerant buyers of recyclable waste materials), LGUs will be encouraged to adopt measures to strengthen, expand and improve the efficiency of their materials recovery and trading operations. EcoGov 2 will facilitate analysis of existing informal waste recovery and trading systems and generate information on markets and pricing of recyclables. Milestones for this output will include (a) interim organization or consensus among the informal sector members on their representation in the ESWM Board; (b) initial plan of action agreed by both LGU and the informal sector; and (c) formal agreements between the two parties covering specific aspects of the waste recovery and trading operations.

Cross-Sector Outputs

Responsive and service-oriented DENR and BFAR field units. DENR CENROs/PENROs and Regional Offices and BFAR field units should have (a) staff trained on governance-enhanced FFM/CRM/UEM planning and implementation processes, (b) formal commitment (through MOAs or exchange of letters) for specific support activities to LGUs such as assistance to FLUP/CRM/UEM planning and implementation as resource persons, disposal site assessments, technical training, and participation in joint LGU-DENR/BFAR monitoring of the performance of the LGUs, (c) mutual agreements that clarify roles and expectations and set a DENR – LGU consultation process that governs the issuance of FFM/CRM/UEM related tenure instruments and permits; (d) internal protocols for responding to recurrent requests from

LGUs for technical services (e.g., maps and other geographic information, FFM/CRM/UEM technologies, information on policy issuances).

Where appropriate DILG staff will participate in this capability building activity.

Supportive provincial governments. To further enhance the sustainability of LGU-level actions and expand impacts to non-EcoGov LGUs, we will facilitate the development of Provincial Government action programs that support municipal LGU or inter-LGU municipal initiatives. Technical and coordination capabilities of the provincial LGU will be strengthened so that they can effectively mobilize and leverage financial support and incentives for LGU and inter-LGU activities. Key indicators will include (a) discrete items in provincial government plans and budgets that directly support local FFM/CRM/UEM plans; (b) participation in inter LGU FFM/CRM/UEM planning, performance assessment and conflict management as a technical resource or facilitator, and (c) agreements forged with government and non-government resource organizations to provide/expand relevant support services to municipal LGU FFM/CRM/UEM initiatives.

More capable local service providers. EcoGov 2 will identify and mentor local organizations (e.g., universities) which can be potential service providers to LGUs on good governance of forests, coasts, and waste beyond the life of the project. Milestones will include (a) participation of organizations in formal EcoGov training on FFM/CRM/UEM/LGU finance/advocacy/IEC, (b) engagement (or participation) of organizations or individual staff of organizations in direct provision of technical assistance to LGUs through service contracts, grants, and student practicum, (c) participation in discussion of policy issues, technical studies, and system/protocol development, and (d) adoption of EcoGov developed training modules and information materials in curriculum of academic institutions.

2. Policy studies and instruments

EcoGov 2 will assist DENR and other regional and national partners prepare studies and draft the relevant legal instruments (e.g., DENR Administrative Orders, implementing rules and regulations, Congressional bills) that will (a) clarify and strengthen the institutional arrangement for the sustainable use and conservation of forests and forestlands and coastal resources, including the strengthening of tenurial security of communities in upland and foreshore areas; and (b) strengthen local government capability in preparing and implementing forest land use, coastal and fisheries management, and waste management plans to ensure local government compliance with the requirements of pertinent national laws. Specific policy initiatives are listed below:

Forest and Forestland Management

- Draft of the implementing rules for MMAA 161 on SFM in ARMM.
- Draft of the revised IRR for the NIPAS Act to strengthen LGU-led NRM programs (co-management areas).
- Draft MOA for compensation arrangements between watershed communities/LGUs and water districts/lowland LGUs to support conservation activities in the watersheds.
- Draft ordinances for the sustainable use of forest resources, complementing draft DENR policies providing for limited delegation to LGUs of monitoring and enforcement of harvesting of forest resources (e.g. firewood).
- Framework for allocating forestlands, going beyond critiquing individual types of tenure instruments but looking at a holistic policy on tenure.
- Framework for managing conflicts on resource use and allocation.
- Framework for the management of foreshore areas (especially mangrove areas).
- Framework for increasing the value of or attracting investment in tenured lands to increase benefits to upland communities.

Coastal Resources Management

- Draft of the revised IRR for the NIPAS Act to strengthen LGU-led NRM programs (co-management areas) and marine protected areas network.
- Framework for preparing comprehensive coastal management and/or fisheries management ordinances, especially focusing on the registration and licensing requirement of the Fisheries Code.
- Framework for the establishment of an MPA network.
- Framework for managing conflicts in CRM.

Urban Environmental Management

- Draft of regulations and guidelines for the NSWMC to facilitate compliance by LGUs in planning and operating a sanitary landfill.
- Framework for preparing comprehensive local ordinances for ESWM, focusing on segregation at source, composting, and recycling, as well as regulations relevant to the planning and operation of SLF.
- Framework for managing conflicts and facilitating agreement for clustering of LGUs.

3. Responsive national networks

EcoGov 2 will collaborate with LGU leagues, mainly the LMP, LCP and LPP, and existing and emerging national level peer support networks of local FFM/CRM/SWM practitioners. Possible peer, or theme, networks are the National Watershed Coalition (FFM), the SWAPP (SWM), and one for marine sanctuaries (CRM). Through this collaboration, EcoGov 2 will help networks review their organization and internal operations; identify and begin to implement measures that would improve their financial sustainability and technical services to members; disseminate knowledge products emanating from EcoGov experiences; and conduct policy dialogue on recurrent implementation issues on the three sectors. Indicators of successful work will include (a) updated and clear statements of organization mission and goals particularly with respect to the environment and natural resources sector, (b) plans of action to improve internal operations and the financial and technical contributions to the network from members and other resource organizations to increase their financial sustainability; (c) implementation of activities that improve technical support to members (e.g., training, sharing of good practices), and (d) policy reform agenda and advocacy measures (e.g. participation in congressional hearings) to which the network commits to contribute.

4. Working environmental governance models featuring innovative approaches

EcoGov 2 will spearhead the development and piloting of models showcasing innovative practices in environmental governance. From these experiences, we will generate information packages that support the project's capacity building, policy, and advocacy initiatives. Among the models identified in the EcoGov 2 workplan are:

- Users fee systems (FFM, CRM and UEM) for sustainable financing.
- Mangrove management options.
- Individual property rights in FFM.
- Co-management arrangements in FFM and CRM.
- Marine sanctuary networks and standard rating system.
- Application of FISH BE model: socio-economic basis for determination of size of municipal waters/bays for protection.
- Inter-LGU alliances for fisheries management and enforcement.
- “Blue Flag” system.
- Clustering of LGUs for SWM.
- Private-public sector partnerships (e.g., co-financing, contracting, tapping corporate social responsibility initiatives of the business sector).
- Organization and strengthening the “informal” sector in SWM.
- Management of toxic and hazardous waste, including health care waste.
- Financing arrangements for wastewater management.
- Social marketing in waste management.
- Waste diversion tracking and measurement using the material balance approach